

PTO/5B/21 (10-07)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)


Total Number of Pages in This Submission

Application Number	09/774,768
Filing Date	01/31/2001
First Named Inventor	Dror Segal
Art Unit	3694
Examiner Name	Rosen, Elizabeth H.
Attorney Docket Number	070388.0620

ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

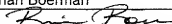
Firm Name	Baker Botts L.L.P.		
Signature			
Printed name	Brian Boerman		
Date	06/19/2012	Reg. No.	66,678

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature			Date
Typed or printed name			

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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FEE TRANSMITTAL		Complete if Known																																	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	09/774,768																																
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		Art Unit	3694																																
TOTAL AMOUNT OF PAYMENT (\$)		180																																	
METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: 02-4377 Deposit Account Name: Baker Botts L.L.P.		ADDITIONAL FEES <input type="checkbox"/> Surcharge - late oath or filing fee <input type="checkbox"/> Non-English Specification <input type="checkbox"/> Extension for reply within first month <input type="checkbox"/> Extension for reply within second month <input type="checkbox"/> Extension for reply within third month <input type="checkbox"/> Extension for reply within fourth month <input type="checkbox"/> Extension for reply within fifth month <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Filing a brief in support of an appeal <input type="checkbox"/> Petition to revive - unavoidable <input type="checkbox"/> Petition to revive - unintentional <input type="checkbox"/> Utility Issue Fee <input type="checkbox"/> Design Issue Fee <input type="checkbox"/> Publication Fee <input type="checkbox"/> Petitions to the Commissioner <input type="checkbox"/> Request for Continued Examination (RCE) <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)																																	
Fee Calculation Extra Claim Fees <table style="width: 100%;"> <thead> <tr> <th></th> <th>Extra Claims</th> <th>Fee</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>1</td> <td>60</td> <td>\$0</td> </tr> <tr> <td>Independent Claims</td> <td>1</td> <td>250</td> <td>\$0</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>\$0</td> </tr> <tr> <td colspan="2" style="text-align: right;">SUBTOTAL</td> <td></td> <td>\$0</td> </tr> </tbody> </table> <table style="width: 100%;"> <thead> <tr> <th>Fee Description</th> <th>Large Entry</th> <th>Small Entry</th> </tr> </thead> <tbody> <tr> <td>Claims in excess of 20</td> <td>60</td> <td>30</td> </tr> <tr> <td>Independent claims in excess of 3</td> <td>250</td> <td>125</td> </tr> <tr> <td>Multiple dependent claim, if not paid</td> <td>450</td> <td>225</td> </tr> </tbody> </table>			Extra Claims	Fee	Fee Paid	Total Claims	1	60	\$0	Independent Claims	1	250	\$0	Multiple Dependent			\$0	SUBTOTAL			\$0	Fee Description	Large Entry	Small Entry	Claims in excess of 20	60	30	Independent claims in excess of 3	250	125	Multiple dependent claim, if not paid	450	225	<input type="checkbox"/> Other fee - <div style="text-align: right;"> SUBTOTAL (\$) 180 </div>	
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SUBMITTED BY		(Complete if applicable)																																	
Name (Print/Type) Brian Boerman		Registration No. (Attorney/Agent) 66,678	Telephone 212-408-2500																																
Signature 		Date 06/19/2012																																	

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Dror Segal Examiner : Rosen, Elizabeth H.
Serial No. : 09/774,768 Confirmation No. : 5534
Filed : 1/31/2001 Group Art Unit : 3694
For : VIRTUAL TRADING FLOOR SYSTEM AND METHOD

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

FILED BY EFS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed herewith are patents and/or publications for consideration by the Patent and Trademark Office in regard to the invention claimed in the above-identified application. In compliance with 37 C.F.R. §1.56, such documents are listed on the enclosed Form PTO-1449.

This Information Disclosure Statement is submitted according to the following selected paragraph(s):

- ☐ This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b) (1) within three months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. § 1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.
- ☐ This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(c) prior to either a final action or a notice of allowance. Payment for the fee required by 37 C.F.R. §1.17(p) is hereby authorized to be charged to Deposit Account No. 02-4377.

- ☐ This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(c), with a statement under, 37 C.F.R. §1.97(e) prior to either a final action or a notice of allowance.

The undersigned hereby states that (check one):

- ☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.
- ☒ This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(d), with a statement under 37 C.F.R. §1.97(e), after a final action or a notice of allowance but prior to payment of the issue fee. Payment for the fee required by 37 C.F.R. §1.17(p) is hereby authorized to be charged to Deposit Account No. 02-4377. The undersigned hereby petitions that this Information Disclosure Statement be considered prior to issuance of the patent. The undersigned hereby states that (check one):
- ☒ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

- ☐ The references listed on the accompanying PTO-1449 were either cited by the Examiner or previously submitted in parent application U.S. Serial No. _____, filed _____. Pursuant to 37 C.F.R. § 1.98(d), the references are not required if the earlier application is identified and relied upon for an effective filing date under 35 U.S.C. § 120 and therefore are not enclosed herewith.

Co-Pending Application Disclosure

- ☐ Applicants would like to bring to the attention of the Examiner the following co-pending patent applications, which are also listed on the accompanying PTO-1449:

Serial No.	Filing Date

Disclosure of Office Actions and Responses in Co-Pending Applications

- ☐ Applicants would like to bring to the attention of the Examiner the following Office Actions issued in co-pending patent applications and Responses to Office Actions filed in such applications, which are also listed on the accompanying PTO-1449:

Serial No.	Date of Office Action or Response

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that the listed documents are material or constitute "prior art." If the Examiner applies the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should the documents be applied against the claims of the present application.

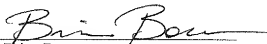
Applicants believe no additional fee is due in connection with this submission. However, if any additional fee is due, or if any overpayment has been made, the Commissioner is authorized to charge any such fee or credit any overpayment to our Deposit Account No. 02-4377.

Respectfully submitted,

BAKER BOTTS L.L.P.

June 19, 2012

Date



Brian Boerman

Patent Office Reg. No. 66,678

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Attorney for Applicant(s)
212-408-2500

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Application Number	09/774,768
	Filing Date	1/31/2001
	Inventor(s)	Dror Segal
	Art Unit	3694
	Examiner Name	Rosen, Elizabeth H.
	Attorney Docket Number	070388.0620

FOREIGN PATENT DOCUMENTS

Exam. Initial	No.	Document No.	Issue/Publication Date	Applicant(s)
	1.	JP 2003-345952	12/5/2003	BTOC USA
	2.	JP 2003-345953	12/5/2003	CYBOZU INC.
	3.	WO 1998/045830	10/15/1998	THE NASDAQ STOCK MARKET, INC.

Examiner Signature	/Elizabeth Rosen/	Date Considered	07/09/2012
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NY02:746881.1

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /E.R./